

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Marc Schaepkens et al

Group Art Unit:

Serial No.:

Examiner:

Filed:

For COMPOSITE ARTICLES HAVING DIFFUSION  
BARRIERS AND DEVICES INCORPORATING  
THE SAME

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit\_\_\_\_\_  
Type or Print Name\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☒ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

February 12, 2004  
Date

General Electric Company  
CRD Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, New York 12301  
Customer Number: 006147

Respectfully submitted,

Tom P. Vo.

Attorney - Toan P. Vo.  
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or (518) 387-7122

FORM PTO-1449  
(REV. 7-80)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

133348

SERIAL NO.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT--  
LIST OF ITEMS

(Use several sheets if necessary)

Applicant

Marc Schaepkens et al.

Filing Date

Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER								DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5	4	5	5	1	0	5	10/03/95	Coyle et al.			
	AB	5	6	8	1	8	8	8	10/28/97	Nomura et al.			
	AC	6	2	8	7	6	7	4	09/11/01	Verlinden et al.			
	AD	6	2	6	8	6	9	5	07/31/01	Affinito			
	AE	6	4	9	7	5	9	8	12/24/02	Affinito			
	AF	6	6	2	4	5	6	8	09/23/03	Silvernail			
	AG	6	5	7	0	3	2	5	05/27/03	Graff et al.			
	AH	6	5	1	5	3	1	4	02/04/03	Duggal et al.			
	AI												
	AJ												
	AK												

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
														YES	No
	AL														
	AM														
	AN														
	AO														
	AP														

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

	AR	Copending patent application Serial No. 10/065,018, by Marc Schaepkens et al, filed 9/11/02, entitled "DIFFUSION BARRIER COATINGS HAVING GRADED COMPOSITIONS AND DEVICES INCORPORATING THE SAME" (Docket No. 125397).
	AS	"Durability of Nanosized Oxygen Barrier Coatings on Polymers", by Y. Leterrier, Prog. Mat. Sci., Vol. 48, pp. 1-55 (2003).
	AT	"Evaluating High Performance Diffusion Barriers: the Calcium Test", by Nisato et al., Asia Display//DW'01, pp. 1435-1438 (2001).

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	BA					
	BB					
	BC					
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	BF					
	BG					
	BH					
	BI					
	BJ					
	BK					

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	BL						
	BM						
	BN						
	BO						
	BP						

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

BR	US Pub. No. 2003/0203210A1, published Oct. 30, 2003, Graff et al, entitled "Barrier Coatings and Methods of Making".
BS	US Pub. No. 2003/0117066A1, published June 26, 2003, Silvernail, entitled "Muleilayer Barrier Region Containing Moisture- and Oxygen-Absorbing Material for Optoelectronic Devices".
BT	

EXAMINER

DATE CONSIDERED

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